



## UNITED STATES PATENT AND TRADEMARK OFFICE

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UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/974,634	10/09/2001	Mengtao Pete He	29930.5300

CONFIRMATION NO. 9940

## FORMALITIES LETTER



\*OC00000007060579\*

Domon L. Boyd  
Snell Arizona Center  
400 East Van Buren  
Phoenix, AZ 85004-2202

Date Mailed: 11/13/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

01/30/2002 BABRAHA1 00000128 09974634

01 FC:105

130.00 OP

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The following item(s) appear to have been **omitted** from the application:

- Figure(s) 3 described in the specification.

I. Should applicant contend that the above-noted omitted item(s) was in fact deposited in the U.S. Patent and Trademark Office (USPTO) with the nonprovisional application papers, a copy of this Notice and a petition (and \$130.00 petition fee (37 CFR 1.17(h))) with evidence of such deposit **must** be filed within **TWO MONTHS** of the date of this Notice. The petition fee will be refunded if it is determined that the item(s) was received by the USPTO.

II. Should applicant desire to supply the omitted item(s) and accept the date that such omitted item(s) was filed in the USPTO as the filing date of the above-identified application, a copy of this Notice, the omitted item(s) (with a supplemental oath or declaration in compliance with 37 CFR 1.63 and 1.64 referring to such items), and a petition under 37 CFR 1.182 (with the \$130.00 petition fee (37 CFR 1.17(h))) requesting the later filing date **must** be filed within **TWO MONTHS** of the date of this Notice.

III. The failure to file a petition (and petition fee) under the above options (I) or (II) within **TWO MONTHS** of the date of this Notice (37 CFR 1.181(f)) will be treated as a constructive acceptance by the applicant of the application as deposited in the USPTO. **THIS TWO MONTH PERIOD IS NOT EXTENDABLE UNDER 37 CFR 1.136(a) or (b).** In the absence of a timely filed petition in reply to this Notice, the application will maintain a filing

date as of the date of deposit of the application papers in the USPTO, and original application papers (i.e., the original disclosure of the invention) will include only those application papers present in the USPTO on the date of deposit.

In the event that applicant elects not to take action pursuant to options (I) or (II) above (thereby constructively electing option (III)), amendment of the specification to renumber the pages consecutively and cancel incomplete sentences caused by any omitted page(s), and/or amendment of the specification to cancel all references to any omitted drawing(s), relabel the drawing figures to be numbered consecutively (if necessary), and correct the references in the specification to the drawing figures to correspond with any relabelled drawing figures, is required. Any drawing changes should be accompanied by a copy of the drawing figures showing the proposed changes in red ink. Such amendment and/or correction to the drawing figures, if necessary, should be by way of preliminary amendment submitted prior to the first Office action to avoid delays in the prosecution of the application.

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*A copy of this notice MUST be returned with the reply.*

  
\_\_\_\_\_  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



JAN 28 2002

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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/974,634	10/09/2001	1771	740	29930.5300	2	10	3

CONFIRMATION NO. 9940

## FILING RECEIPT



\*OC000000007060578\*

**Demon L. Boyd**  
**Snell Arizona Center**  
 400 East Van Buren  
 Phoenix, AZ 85004-2202

Date Mailed: 11/13/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Mengtao Pete He, Residence Not Provided;  
 Carl Triplett, Residence Not Provided;  
 Debra Park, Residence Not Provided;  
 Christopher J. Wolpert, Residence Not Provided;  
 Kristopher J. Stathakis, Residence Not Provided;

## Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/239,621 10/09/2000 ✓

## Foreign Applications

If Required, Foreign Filing License Granted 11/13/2001 ✓

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

RECEIVED

NOV 1 2001

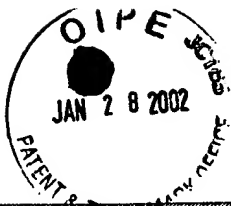
## Title

Porous wick for liquid vaporizers ✓

## Preliminary Class

SNELL &amp; WILMER, LLP

428

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

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*Section 4*

**CERTIFICATE OF MAILING PURSUANT TO 37 C.F.R. §1.8**

I hereby certify that this correspondence and attached documents in response to a Notice to File Missing Parts of Application, pursuant to 37 C.F.R. §1.8, are being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box MISSING PARTS, Assistant Commissioner for Patents, Washington D.C. 20231, on:

Date: 1-8-02

By: [Signature]  
Signature of person depositing U.S. Mail

**IN THE UNITED STATES PATENT AND  
TRADEMARK OFFICE**

*PATENT*

*TRANSMITTAL OF MISSING PARTS FOR  
PATENT APPLICATION PURSUANT TO  
37 C.F.R. § 1.53*

Applicant:	He et al.	Docket No.:	29930.5300
Serial No.:	09/974,634	Art Unit:	1771
Filed:	October 9, 2001	Examiner:	To Be Assigned
Title:	POROUS WICK FOR LIQUID VAPORIZERS		

Box MISSING PARTS  
Assistant Commissioner for Patents  
Washington, D.C. 20231-9998

Sir:

In response to the Notice to File Missing Parts of Application mailed on November 13, 2001 in the above-identified application, enclosed herewith are the missing parts needed to complete filing of the subject patent application as well as a Preliminary Amendment.

**I. Small Entity Status**

- ☐ Small entity status under 37 C.F.R. §§1.9 and 1.27 is claimed.  
☐ Verified statements to establish small entity status under 37 C.F.R. §§1.9 and 1.27 is enclosed.

**II. Fee Calculation**

<input type="checkbox"/> Surcharge as set forth in 37 C.F.R. §1.27	\$50.00 =	N/A
<input checked="" type="checkbox"/> Basic Filing Fee	\$710.00 =	N/A
<input checked="" type="checkbox"/> Surcharge as set forth in 37 C.F.R. §1.16(e)	\$130.00 =	\$130.00
<input checked="" type="checkbox"/> Assignment Recordation Fee	\$40.00 =	\$40.00
<input type="checkbox"/> Total Claims=___ (Claims Over 20=___ x \$18.00)	\$18.00 =	N/A
<input type="checkbox"/> Total Independent Claims=___ (Independent Claims Over 3=___ x \$84.00)	\$80.00 =	N/A
	Subtotal	\$170.00



**Fee Calculation: Request for Extension of Time  
pursuant to 37 C.F.R. §1.17(a)**

<input type="checkbox"/> Missing parts filed within <b>first</b> month after due date – add	\$ 110.00 +	N/A
<input type="checkbox"/> Missing parts filed within <b>second</b> month after due date – add	\$ 390.00 +	N/A
<input type="checkbox"/> Missing parts filed within <b>third</b> month after due date – add	\$ 930.00 +	N/A
<input type="checkbox"/> Missing parts filed within <b>fourth</b> month after due date – add	\$1470.00 +	N/A
	Subtotal:	\$0.00

If one of the "small entity" boxes above is checked, enter half (1/2) of the Subtotal and subtract. N/A

**TOTAL FEES ENCLOSED \$170.00**

**III. Enclosures (check as applicable)**

- ☒ Notice to File Missing Parts of Nonprovisional Application
- ☒ Declaration
- ☒ 2 Formal Drawing Sheets
- ☒ Power of Attorney
- ☒ Preliminary Amendment
- ☒ Acknowledgement Postcard

**IV. Manner of Payment**

- ☐ Please debit Deposit Account No. 19-2814 in the amount of \$\_\_\_\_\_, for which purpose **a duplicate copy of this sheet is attached.**
- ☒ A check in the amount of \$170.00 is attached (Snell & Wilmer Check No. 287471).

**V. Assignment**

- ☒ An Assignment of this application is enclosed. Please record the Assignment and return the recorded Assignment to the undersigned attorney.

**VI. Request for Filing Correction to Filing Receipt Data**


- ☒ Applicants further request that the filing receipt of this application be corrected as follows: Please correct the following in the address to law firm address. Please correct the attorney name from "Domon" to --Damon-- and please correct the law firm name from "Snell Arizona Center" to --Snell & Wilmer L.L.P.-- **A copy of the Filing Receipt with corrections noted thereon is attached for your reference.**

**This statement does NOT authorize charge of the issue fee.** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any **deficiency** in the fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under 37 C.F.R. §§1.16-1.18 (**deficiency only**)

now or hereafter relative to this Application and the resulting Official document under 37 C.F.R. §1.20, or credit any overpayment to Account No. 19-2814 **for which purpose a duplicate copy of this sheet is attached.**

Respectfully submitted,

Date: 8 January 2002

By:   
Damon L. Boyd  
Reg. No. 44,552

**Snell & Wilmer** L.L.P.  
One Arizona Center  
400 East Van Buren  
Phoenix, Arizona 85004-2202  
(602) 382-6337